



## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

#3  
NDB  
6-28-02

Applicants:

John M. Adams, David G. Reuter, Mark L. Mathis and  
Scott J. Wolf**RECEIVED**

Serial No.:

10/003,910

APR 2 2002

Filing Date:

November 1, 2001

**Group 3700**

Title:

FOCUSED COMPRESSION MITRAL VALVE DEVICE AND  
METHOD

Examiner/Unit:

Unknown / 3762

Attorney Docket No.:

1931-6-3

## CERTIFICATE OF TRANSMISSION BY FACSIMILE

Date of facsimile transmission: April 2 2002

I hereby certify that this correspondence is being transmitted via facsimile to  
 Fax number (703) 872-9301 Examining Unit 3762 on the date indicated below  
 and is addressed to the Commissioner for Patents on this 2 day of April,  
 2002.

Kelly Pedersen

103700 MAIL ROOM

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MAY 23 2002

## REQUEST FOR CORRECTION OF FILING RECEIPT

ASSISTANT COMMISSIONER FOR PATENTS  
 APPLICATIONS PROCESSING DIVISION  
 CUSTOMER CORRECTION BRANCH

Status:

A Filing Receipt for the above-referenced patent application has been issued by the  
 PTO. The Filing Receipt sets forth an inaccuracy concerning the present application. The  
 instant request provides the PTO with correct data so that the records for this patent  
 application may be appropriately updated.

The Filing Receipt contains an error in the Applicant(s) section. The Filing Receipt states that the second Inventor is David G. Reufer, which is incorrect. A copy of the patent application transmittal letter and Declaration and Power of Attorney are enclosed which clearly states that the correct spelling of his name is David G. Reuter.

A copy of the PTO's Filing Receipt is included with this request. Reference to the Filing Receipt and the enclosed documents should provide the Office with sufficient evidence to support Applicants' request for correction.

A correction of the Filing Receipt is respectfully requested in this regard.

Should the Customer Correction Branch have any questions concerning this Request For Correction of Filing Receipt, a call to the undersigned is strongly encouraged.

Respectfully submitted,

GRAYBEAL JACKSON HALEY LLP

  
Richard O. Gray, Jr.  
Attorney for Applicant  
Registration No. 26,550  
155-108th Avenue N.E., Ste 350  
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APR 02 2002

Page 1 of 2

UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS  
 UNITED STATES PATENT AND TRADEMARK OFFICE  
 WASHINGTON, D.C. 20231  
[www.uspto.gov](http://www.uspto.gov)

APPLICATION NUMBER	FILING DATE	GRP ART UNIT	FIL. FEE REC'D	ATTY.DOCKET.NO	DRAWINGS	TOT CLAIMS	IND CLAIMS
10/003,910	11/01/2001	3762	859	1931-6-3	5	65	5

CONFIRMATION NO. 7716

## FILING RECEIPT

\*OC000000007302082\*

Richard O. Gray, Jr.  
 GRAYBEAL JACKSON HALEY LLP  
 Suite 350  
 155-108th Avenue NE  
 Bellevue, WA 98004-5801

Date Mailed: 01/14/2002

Receipt is acknowledged of this nonprovisional Patent Application. It will be considered in its order and you will be notified as to the results of the examination. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. If an error is noted on this Filing Receipt, please write to the Office of Initial Patent Examination's Customer Service Center. Please provide a copy of this Filing Receipt with the changes noted thereon. If you received a "Notice to File Missing Parts" for this application, please submit any corrections to this Filing Receipt with your reply to the Notice. When the USPTO processes the reply to the Notice, the USPTO will generate another Filing Receipt incorporating the requested corrections (if appropriate).

## Applicant(s)

John M. Adams, Sammamish, WA;  
 David G. Reuter, Bothell, WA;  
 Mark L. Mathis, Kirkland, WA;  
 Scott J. Wolf, Bellevue, WA;

Reuter

## Assignment For Published Patent Application

Cardiac Dimensions, Inc.;

## Domestic Priority data as claimed by applicant

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 JAN 22 2002

GRAYBEAL JACKSON  
 HALEY LLP

## If Required, Foreign Filing License Granted 01/11/2002

Projected Publication Date: 05/01/2003

Non-Publication Request: No

Early Publication Request: No

\*\* SMALL ENTITY \*\*

Title

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 MAY 23 2002

TC 3700 MAIL ROOM

Page 2 of 2

Focused compression mitral valve device and method

Preliminary Class

807

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LICENSE FOR FOREIGN FILING UNDER  
Title 35, United States Code, Section 184  
Title 37, Code of Federal Regulations, 5.11 & 5.15

**GRANTED**

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## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Attorney Docket No.: 1831-6-3

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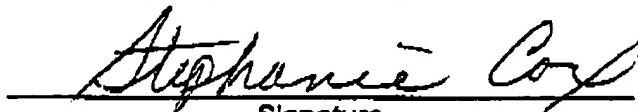
Group 3700

## CERTIFICATE OF MAILING OR TRANSMISSION

"Express Mail" mailing label number: ET450405865US

Date of Deposit: November 1, 2001

I hereby certify that this paper or fee is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" under 37 CFR, Section 1.10 on the date indicated above and is addressed to Box Patent Application, Commissioner for Patents, Washington, D.C. 20231 by

  
Signature

BOX PATENT APPLICATION  
ASSISTANT COMMISSIONER FOR PATENTS  
WASHINGTON, DC 20231

Sir.

Enclosed for filing is the patent application of:

Inventors: John M. Adams, David G. Reuter, Mark L. Mathis, and Scott J. Wolf

Title: FOCUSED COMPRESSION MITRAL VALVE DEVICE AND METHOD

Including:

- 1. A specification including claims consisting of 31 pages.
- 2. Drawings consisting of 5 sheets.
- 3. Declaration and Power of Attorney.

Additionally:

- 4. An assignment of the invention to Cardiac Dimensions, Inc. is attached.
- 5. Applicant claims small entity status.
- 6. A filing date in accordance with 37 CFR 1.10 is requested  
(Express mail certificate is part of this transmittal letter).

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X 7.

## COMPUTATION OF FEE

Claims	Number Filed	Number Extra	Basic Fee
			\$740/\$370
Total	65 -20=	45	x\$18/\$8= \$405.00
Indep.	5 - 3=	2	x\$84/\$42= \$84.00
Multi Dep.	xxx	xxx	x\$260/\$130=

TOTAL Filing Fee: \$859.00Assignment Recording Fee (\$40.00): \$40.00

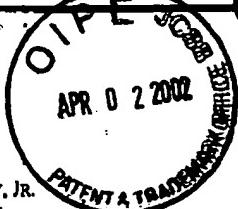
- X 8. Check No. 17847 for \$859.00 for filing fee is enclosed.  
X 9. Check No. 17848 for \$40.00 for assignment fee is enclosed.  
  10. No fee is enclosed at this time.  
X 11. Charge any additional fees to Deposit Account No. 07-1897.  
X 12. A copy of this letter is enclosed.  
X 13. A postcard is enclosed as acknowledgment of receipt of this application.

Respectfully submitted,

GRAYBEAL JACKSON HALEY LLP



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April 2, 2002

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**FACSIMILE MESSAGE - COVER SHEET**

To: Unit 3762

Fax number: (703) 872-9301

Company: USPTO

**FAX RECEIVED**

No. of pages following: 10

APR 02 2002

**GROUP 3700**

From: Richard O. Gray, Jr.

Our Ref: 1931-6-3 (Cardiac Dimension

Regarding: Request for Correction of Filing Receipt

Message: Please see attached.

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MAY 24 2002

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